

Alabama State Board of Social Work Examiners

Functional Analysis & Records Disposition Authority

**Revision
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State Records Commission
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Functional and Organizational Analysis of the Alabama State Board of Social Work Examiners

Sources of Information

Representatives of the Alabama State Board of Social Work Examiners:

Alice King, Executive Director
Brenda Holden, Executive Assistant

Code of Alabama 1975, Sections 34-30-50 through 34-30-58
Alabama Government Manual (1998)
Alabama Administrative Code, Sections 850-x-1 through 850-x-16
General Disposition Authority (GDA)
Government Records Division, State Agency Files (1989-ongoing)

Agency Organization

The Alabama State Board of Social Work Examiners consists of seven members appointed by the governor. Four members are licensed certified social workers, two are licensed graduate social workers, and one is a licensed bachelor social worker. At least one member must be of a minority race. The term of office is three years and members are limited to two consecutive terms. The board annually elects a chairman, a vice-chairman, and a secretary. It meets twice each year or as necessary (Code of Alabama, 1975, Sections 34-30-50 through 34-30-56). A director is appointed by the board and can hire necessary personnel.

Agency Function and Subfunctions

The mandated function of the Alabama State Board of Social Work Examiners is to license social workers in the state. The board is one of the agencies primarily involved in carrying out the Regulatory function of Alabama government. In the performance of its mandated function, the bureau may engage in the following subfunctions:

- **Promulgating Rules and Regulations.** The board creates rules and regulations for social workers pursuant to the state administrative procedures and can modify and amend their regulations regarding the licensing and monitoring of social workers. The board also establishes requirements and standards for continuing education (Code of Alabama 1975, Section 34-30-57). To do this, the board consults with organizations and groups that represent social workers. In addition, fees for examination, licensure, certification, and renewal are established by the board.
- **Licensing.** The Alabama State Board of Social Work Examiners issues licenses for

bachelor social workers, graduate social workers, and certified social workers. The board also certifies social workers for private independent social work (Code of Alabama 1975, Section 34-30-22). Applicants must meet basic requirements in addition to the requirements for the particular license. An application fee is collected from applicants when they apply. The board reviews and verifies the applications and issues licenses to qualified applicants who pass a certification exam created by a nationwide organization. If an applicant fails the exam, the exam may be taken again. After failing the exam for a third time, the applicant must wait a year before retesting. Licenses must be renewed every two years. Applicants for renewal must show proof of continuing education. The Board may request verification of continuing education prior to renewal of the license.

Although the board does not publish an annual list of social workers, it does maintain a computer database of all licensed social workers. Printouts of this list are available to the public. The database includes social workers who are currently licensed as well as who were previously licensed.

- **Investigating Complaints and Violations.** The board monitors licensees by reviewing written complaints against individuals. A member of the board works with an investigator to verify the complaint. If the investigation indicates a violation of the regulations of the board, the individual against whom the complaint is made has 90 days to disclaim or rectify the allegations. If there is evidence of a violation, the board may hold an administrative hearing where attempts to rectify the situation are made, or the board may recommend the case to the appropriate district attorney prosecution of the violations (Code of Alabama 1975, Sections 34-30-5 and 34-30-57).

- **Administering Internal Operations.** A significant portion of the agency's work includes general administrative, financial, and personnel activities performed to support its programmatic areas including:

Managing the agency: Activities include internal office management activities common to most government agencies such as corresponding and communicating, scheduling, meeting, documenting policy and procedures, reporting, litigating, legislating (drafting, tracking), publicizing and providing information, managing records, and managing information systems and technology.

Managing finances: Activities include budgeting (preparing and reviewing budget package, submitting the budget package to the Department of Finance, documenting amendments and performance of the budget); purchasing (requisitioning and purchasing supplies and equipment, receipting and invoicing for goods, and authorizing payment for products received); accounting for the expenditure, encumbrance, disbursement, and reconciliation of funds within the agency's budget through a uniform system of accounting and reporting; authorizing travel; contracting with companies or individuals; bidding for products and services; and assisting in the audit process.

Managing human resources: Activities include recruiting and hiring eligible individuals to fill positions within the agency; providing compensation to employees; providing benefits to employees such as leave, health insurance, unemployment compensation, worker's compensation, injury compensation, retirement, and death benefits; supervising employees by evaluating performance, granting leave, and monitoring the accumulation of leave; training and providing continuing education for employees; and disciplining.

Managing properties, facilities, and resources: Activities include inventorying and accounting for non-consumable property and reporting property information to the appropriate authority; leasing and/or renting offices or facilities; providing security for property managed by the agency; insuring property; and assigning, inspecting and maintaining agency property, including vehicles.

Attachment: Organizational Chart

Analysis of Record Keeping System and Records Appraisal of the Alabama State Board of Social Work Examiners

Agency Record Keeping System

The Alabama State Board of Social Work Examiners currently operates a hybrid record keeping system composed of paper and electronic records.

Paper-based Systems: Most of the agency's records are maintained in paper format and stored on-site.

Computer Systems: The board maintains two IBM PS2 Model 70 386 computers that run Windows 3.11. Databases are backed up weekly on magnetic tape and stored on-site in a fire-proof safe. The board has a web site at <http://www.abswe.state.al.us>. Information on the site includes: laws and rules, applications, board members, newsletters, and licensure searches.

Records Appraisal

The following is a discussion of the two major categories of records created and/or maintained by the Alabama State Board of Social Work Examiners: Temporary Records and Permanent Records.

I. Temporary Records. Temporary records should be held for what is considered to be their active life and disposed of once all fiscal, legal, and administrative requirements have been met. Some of the temporary records created by the agency are discussed below:

- **Certificate Files.** These files are reference files used to prevent dual issuance of license numbers. They include copies of certificates filed by number for each level of license.
- **Substantiated Disciplinary Files.** When an investigation of a social worker ends with the discovery of a violation, further action must be taken. These files document the investigations that discover violations. They retain administrative value only for a short period of time.
- **Unsubstantiated Disciplinary Files.** When an investigation of a social worker ends without the discovery of a violation, it is closed and no further action is taken. These files document the investigation. They have administrative value only for a short period of time.
- **Licensure Database.** The board is required by law to publish annually a list of the names and addresses of all licensed social workers in each class. Currently the board maintains this information in a database and prints an roster annually. The database is updated with new licensees, but information on expired licenses is not removed.

II. Permanent Records. The Government Records Division recommends the following records as permanent.

Promulgating Rules and Regulation:

- **Meeting Minutes of the Board.** The board's meeting minutes are the core documentation of the agency. These records are necessary to document the board's approval of applicants, its issuance of licenses, and the results of investigations. The names of approved applicants are found in the minutes. (RDA page 3-2) (**Bibliographic Title: Meeting Minutes**)
- **Director's Files.** These files are created by the director of the board and include correspondence of the director and of the board. Because the board does not create an annual report, these files serve as documentation of the activities and policies of the director and of the board that are not found in the Meeting Minutes of the Board and therefore retain archival value. (RDA page 3-2) (**Bibliographic Title: Administrative Files**)
- **Informational Publications.** These publications document the agency's efforts in communicating with the public regarding social work education and practice, licensure procedures, and other board related services. Publications include, but are not limited to, newsletters, the board's Rules and Regulations, and the Alabama Administrative Code. (RDA page 3-2) (**Bibliographic Title: Informational Publications**)
- **Annual Roster of Licensed Social Workers.** These records are generated annually from the licensure database. This series is necessary to document information such as who is licensed in Alabama, as well as statistical data for any specific year. (RDA page) (**Bibliographic Title: Annual Rosters**)

Permanent Records List
Alabama State Board of Social Work Examiners

Promulgating Rules and Regulations:

1. Meeting Minutes of the Board
2. Director's Files
3. Informational Publications
4. Annual Roster of Licensed Social Workers

Alabama State Board of Social Work Examiners Records Disposition Authority

This Records Disposition Authority (RDA) is issued by the State Records Commission under the authority granted by the Code of Alabama 1975, Sections 41-13-5 and 41-13-20 through 21. It was compiled by the Government Records Division, Alabama Department of Archives and History (ADAH), which serves as the commission's staff, in cooperation with representatives of the Alabama State Board of Social Work Examiners. The RDA lists records created and maintained by the Alabama State Board of Social Work Examiners in carrying out its mandated functions and activities. It establishes retention periods and disposition instructions for those records and provides the legal authority for the board to implement records destruction.

Alabama law requires public officials to create and maintain records that document the business of their offices. These records must be protected from "mutilation, loss, or destruction," so that they may be transferred to an official's successor in office and made available to members of the public. Under Code of Alabama 1975, Section 36-12-40, "every citizen has a right to inspect and take a copy of any public writing in this state, except as otherwise expressly provided by statute." Records must be kept in accordance with auditing standards approved by the Examiners of Public Accounts (Code of Alabama 1975, Section 36-12-2, 36-12-4, and 41-5-23). For assistance in implementing this RDA, or for advice on records disposition or other records management concerns, contact the ADAH Government Records Division at (334) 242-4452.

Explanation of Records Requirements

- This RDA supersedes any previous records disposition schedules governing the retention of the Alabama State Board of Social Work Examiners records. Copies of superseded schedules are no longer valid and should be discarded.
- The RDA establishes retention and disposition instructions for records regardless of the medium on which those records may be kept.
- Electronic mail is a communications tool that may record permanent or temporary information. As for records in any other format, the retention periods for e-mail records are governed by the requirements of the subfunctions to which the records belong.
- Some temporary records listed under the Administering Internal Operations subfunction of this RDA represent duplicate copies of records listed for long-term or permanent retention in the RDAs of other agencies.
- Certain other record-related materials need not be retained as records under the disposition requirements in this RDA. They may be disposed of in whatever way the agency determines best. Such materials include: (1) duplicate record copies that do not require official action, so long as the creating office maintains the original record for the period required; (2) catalogs,

trade journals, and other publications received that require no action and do not document government activities; (3) stocks of blank stationary, blank forms, or other surplus materials that are not subject to audit and have become obsolete, (4) transitory records, which are temporary records created for short-term internal purposes, may include, *but are not limited to*, telephone call-back messages; drafts of ordinary documents not needed for their evidential value; copies of material sent for information purposes but not needed by the receiving office for future business; and internal communications about department social activities, such as a note to a group going to lunch.

Records Disposition Requirements

This section of the RDA is arranged by subfunctions of the Alabama State Board of Social Work Examiners and lists the groups of records created and/or maintained by the board as a result of activities and transactions performed in carrying out these subfunctions. The board may submit requests to revise specific records disposition requirements to the State Records Commission for consideration at its regular quarterly meetings.

■ Promulgating Rules and Regulations

MEETING MINUTES OF THE BOARD

Disposition: PERMANENT RECORD.

INFORMATIONAL PUBLICATIONS

Disposition: PERMANENT RECORD.

DIRECTOR'S FILES

Disposition: PERMANENT RECORD.

Recordings of Meetings

Disposition: Temporary Record. Retain until completion of audit and release of the audit report.

Administrative Rules File

Disposition: Temporary Record. Retain for useful life.

Register of Administrative Rules

Disposition: Retain in Office (Code of Alabama 1975, Section 41-22-6).

■ Licensing

ANNUAL ROSTER OF LICENSED SOCIAL WORKERS

Disposition: PERMANENT RECORD.

Social Workers Licensure Files

Disposition: Temporary Record. Retain 5 years after the end of the fiscal year in which the license becomes inactive.

Social Workers Licensure Database

Disposition: Temporary Record. Retain for useful life.

Application Files

Disposition: Temporary Record. Retain 5 years after the end of the fiscal year in which the license becomes inactive.

Certificate Files

Disposition: Temporary Record. Retain for useful life.

■ **Investigating Complaints or Violations**

Complaint and Violation Investigation Files

Disposition: Temporary Record. Retain 20 years after the end of the fiscal year in which the license becomes inactive.

Complaint and Violation Investigation Files Not Resulting in Formal Disciplinary Actions

Disposition: Temporary Record. Retain 7 years after the end of the fiscal year in which the records were created.

■ **Administering Internal Operations**

Managing the Agency:

Board Appointment Letters

Disposition: Temporary Record. Retain 5 years after the end of the fiscal year in which the term expires.

Routine Correspondence

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Administrative Reference Files

Disposition: Temporary Record. Retain for useful life.

Records documenting the implementation of the agency's approved RDA (copies of transmittals forms to Archives or State Records Center, evidence of obsolete records destroyed, and annual reports to State Records Commission)

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Copies of Approved RDA

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the RDA is superseded.

Computer systems documentation (hardware/software manuals and diskettes, warranties, records of access/authorities, file naming conventions, Y2K records)

Disposition: Temporary Record. Retain documentation of former system 3 years after the end of the fiscal year in which the former hardware and software no longer exists anywhere in the agency and all permanent records have been migrated to a new system.

Managing Finances:

Records documenting the preparation of a budget request package and reporting of the status of funds, requesting amendments of allotments, and reporting program performance

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting the requisitioning and purchasing of supplies and equipment, receipting and invoicing for goods, and authorizing payment for products

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records of original entry or routine accounting transactions, such as journals, registers, and ledgers, and records of funds deposited outside the state treasury

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting requests for authorization from supervisors to travel on official business and other related materials, such as travel reimbursement forms and itineraries

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting contracts for services or personal property

Disposition: Temporary Record. Retain 6 years after expiration of the contract.

Records documenting the bid process, including requests for proposals and unsuccessful responses

Disposition: Retain in office (Code of Alabama 1975, Section 41-16-24).

Audit Reports

Disposition: Temporary Record. Retain 6 years after the end of the fiscal year in which the records were created.

Managing Human Resources:

Position Classification Files

Disposition: Temporary Record. Retain 4 years after position is reclassified.

Application Materials

Disposition: Temporary Record. Retain 1 year.

Records documenting payroll (e.g. pre-payroll reports, payroll check registers)

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting payroll deduction authorizations

Disposition: Temporary Record. Retain 6 years after separation of the employee from the agency.

Records documenting payroll deductions for tax purposes (including Form 941)

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting an employee's work history - generally maintained as a case file

Disposition: Temporary Record. Retain 6 years after separation of employee from the agency.

Records documenting employees' daily and weekly work schedules

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting an employee's hours worked, leave earned, and leave taken (including time sheets)

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting an employee's work history, generally maintained as a case file

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting sick leave donations

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records of final leave status (cumulative leave)

Disposition: Temporary Record. Retain 6 years after separation of employee from the agency.

Employee Flexible Benefits Plan Files

Disposition: Temporary Record. General information -- Retain until superseded.

Other (applications, correspondence) -- Retain 6 years.

State Employee Injury Compensation Trust Fund Files

Disposition: Temporary Record. Retain 6 years after separation of the employee from the agency.

Managing Properties, Facilities, and Resources:

Semiannual Inventory Lists

Disposition: Retain in office. (Code of Alabama 1975, Section 36-16-8 [1]).

Transfer of State Property Forms (SD-1) (Agency copies)

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Property Inventory Cards and/or Computer Files

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the items were removed from inventory.

Receipts of Responsibility for Property

Disposition: Temporary Record. Retain until return of item to property manager.

Real Property Leasing/Renting Records

Disposition: Temporary Record. Retain 6 years after expiration of the lease.

Facilities/Building Security Records (including visitor logs)

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Motor Pool Vehicle Use Records

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Insurance Policies/Risk Management Records

Disposition: Temporary Record. Retain 6 years after termination of policy or membership.

Building Maintenance Work Orders

Disposition: Temporary Record. Retain 1 year.

Approval of Records Disposition Authority

By signing this agreement the Alabama State Board of Social Work Examiners acknowledges its responsibilities for the proper management of its records and agrees to abide by the implementation guidelines listed below:

- The Alabama State Board of Social Work Examiners will designate a managerial position as the agency records officer. This position is responsible for: ensuring the development of quality record keeping systems that meet the business and legal needs of the board, coordinating the transfer and destruction of records, ensuring that permanent records held on alternative storage media (such as microforms and digital imaging systems) are maintained in compliance with national and state standards, submitting an annual report on records

management activities to the State Records Commission in October of each year, and ensuring the regular implementation of the board's approved RDA.

- Permanent records in the Alabama State Board of Social Work Examiners' custody will be maintained under proper intellectual control and in an environment that will ensure their physical order and preservation.
- Destruction of temporary records, as authorized in this RDA, should occur agency-wide on a regular basis--for example, after the successful completion of an audit, at the end of an administration, or at the end of a fiscal year. Despite the RDA's provisions, no record should be destroyed that is necessary to comply with requirements of the state Sunset Act, audit requirements, or any legal notice or subpoena.
- The Alabama State Board of Social Work Examiners should maintain full documentation of any computerized record-keeping system it employs. It should develop procedures for: (1) backing up all permanent records held in electronic format; (2) storing a back-up copy off-site; and (3) migrating all permanent records when the system is upgraded or replaced. If the board chooses to maintain permanent records solely in electronic format, it is committed to funding any system upgrades and migration strategies necessary to ensure the records' permanent preservation and accessibility.
- The Alabama State Board of Social Work Examiners agrees to allow the staff of the State Records Commission or the Examiners of Public Accounts to examine the condition of the permanent records maintained in the custody of the board and to inspect records destruction documentation. Government Records Division archivists are available to train the board's staff in RDA implementation and otherwise assist the board in implementing its records management program.

This records disposition authority is hereby adopted.

By: _____ Date: _____
Alice King, Director
Alabama State Board of Social Work Examiners

By: _____ Date: _____
Edwin C. Bridges, Chairman
State Records Commission